
**GOVERNOR'S OFFICE OF EMERGENCY SERVICES
HAZARD MITIGATION GRANT PROGRAM
DR-1498**

Please read the following instructions prior to completing the Hazard Mitigation Grant Program (HMGP) application. Accurate and complete answers are necessary for determining eligibility and expediting the review of your application. If you have additional questions while completing the application, please call the Hazard Mitigation Section at (916) 845-8150, Monday - Friday, 9:00am - 4:00pm. This application package is also available on the OES Web Site at <http://www.oes.ca.gov>.

Introduction

As a result of the declaration of a major federal disaster for DR-1498, the State of California is eligible for HMGP funding. Declared counties include San Diego, Riverside, Ventura, Los Angeles and San Bernardino.

Hazard mitigation activities are aimed at reducing or eliminating future damages. Activities include hazard mitigation plans approvable by the Federal Emergency Management Agency (FEMA) and cost-effective hazard mitigation projects.

Federal funding is provided under the Robert T. Stafford Emergency Assistance and Disaster Relief Act (Stafford Act) through FEMA and the State of California Governor's Office of Emergency Services (OES). OES is responsible for identifying program priorities, reviewing applications and forwarding recommendations for funding to FEMA. FEMA has final approval for activity eligibility and funding.

The federal regulations governing the HMGP are found in Title 44 of Code of Federal Regulations (44CFR) Part 206 and Part 13.

Program Priorities for DR-1498

For the DR-1498 HMGP, priority will be given to activities in the declared counties. All dollar amounts are estimates. The priority activities are as follows:

1. \$12 million for projects
 - A. Flood and mud flow mitigation projects.
 - B. Fire mitigation projects.
 - C. Elevation or acquisition of repetitively damaged structures or structures in high hazard areas.
 - D. Fire, flood and/or earthquake protection of "emergency facilities." Emergency facilities means those buildings, structures, equipment, or systems used to provide emergency services, such as fire protection, ambulance, or rescue, to the general public, including the administrative and support facilities essential to the operation of such emergency facilities even if not contiguous.
2. \$1 million for planning
 - A. Multi-jurisdictional local multi-hazard mitigation plans developed in accordance with Section 322 of the Stafford Act.

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- B. Local multi-hazard mitigation plans developed in accordance with Section 322 of the Stafford Act.
3. \$700,000 other supporting measures
- A. Development and implementation of codes and standards for fire and flood protection
 - B. Development and implementation of mitigation education programs
 - C. Hazard identification and analysis that support local or state hazard mitigation plans
 - D. Development or improvement of warning systems

Selection Criteria

All applications must be submitted on time, be complete when submitted, describe only eligible activities, be consistent with priorities, and be submitted by an eligible applicant.

1. Applicant Eligibility: All applicants must comply with 44CFR 206.434 (a). State and local governments, special districts, private non-profit organizations and Indian tribes are eligible to apply. Individuals are not eligible to apply directly to the HMGP; however, a local governmental agency may apply on their behalf. Private for-profit organizations are not eligible to apply.
2. Activity Eligibility: All proposed activity must comply with 44CFR 206.434 (c). These regulations include, but are not limited to the following eligibility criteria:
 - A. Solve a problem independently or contribute to a solution where there is assurance the activity, as a whole, will be completed.
 - B. Meet all applicable codes and standards.
 - C. Demonstrate cost-effectiveness (project applications only).
 - D. Comply with federal requirements and regulations.
3. Matching Funds: Funds are provided on a 75/25 cost share basis: 75 percent federal and 25 percent non-federal. The non-federal share must be provided by the applicant and can include “soft” matching funds, such as donated labor and materials.
4. Other Important Eligibility Considerations: The following are also important considerations in determining the eligibility of activities.
 - A. Completed activities and activities under construction are not eligible for funding.
 - B. Applications that are incomplete or that do not conform to pre-established priorities will be considered last.
 - C. HMGP funds cannot be used as a substitute or replacement to fund activities or programs that are available under other federal authorities.
 - D. HMGP funds cannot be used as matching funds for other federal funds.
 - E. FEMA policy strongly discourages the use of HMGP funds for equipment purchases.
 - F. FEMA policy prohibits the use of HMGP funds for levee improvements.

5. Additional Selection Factors. If necessary, the following additional selection factors will be used. Points will be awarded based on the ranking in each of the categories. Those with fewer total points will be ranked ahead of those with more points. The top ranked applications will be selected.

A. Projects

- i. The cost benefit of the project: Projects will be ranked by the value of their Benefit/Cost Ratio calculated from the appropriate FEMA Benefit/Cost Model.
- ii. The time needed to implement the project: Projects that can be completed in the least amount of time will receive the highest ranking. Factors will include the project schedule, the complexity of the environmental review and the stage of project planning.
- iii. The capability of the applicant to complete the project as requested. Applicants that have the best history of completing projects on time and within budget will be ranked highest. Of greatest importance is evidence of the successful completion of projects funded under past federal Disaster Assistance Programs.
- iv. The scope of the project: Projects that fully eliminate the hazard(s) or make a significant contribution to reducing the hazard(s) will be ranked highest.
- v. Date application received by OES. Applications will be ranked in the order they were received.

B. Plans

- i. Population at risk: Applications for Plans that address the largest population in high hazard areas will rank the highest.
- ii. Probability of a Disaster Event: Plans that address the occurrence of events with the highest probability will rank the highest.
- iii. Multiple Jurisdictions: Plans that include the most jurisdictions will be ranked highest.
- iv. Addressing the entire hazard area: Plans that address the entirety of a high hazard area will rank the highest.
- v. Multiple Hazards. Plans that address the most hazards will rank highest.

C. Other supporting measures.

Selection will be made based on the applicability of the measures to address problems statewide.

Application Format

To expedite the review process, OES requests that the following format be used when for application submissions.

1. Please provide one original and one copy of the completed application including all attachments.
2. Use 8 ½" x 11" paper, with text on one side only.
3. Package the application in a standard letter-size, two-hole (on top) tabbed file folder (if possible). Please do not spiral bind applications.
4. For maps, plans, and documents of varying size, clearly label items and place inside file folder.

Applications submitted in other formats will delay the review of your application. No electronic submissions please. Mail or deliver completed applications to:

Governor's Office of Emergency Services
Disaster Assistance Programs Branch
Hazard Mitigation Section – Attention 1498
P.O. Box 419023
Rancho Cordova, CA 95741-9023

Deadlines

The Notice of Interest is due to OES by 5:00 p.m. on February 6, 2004.

Applications must be received by 5:00 p.m. or post-marked by April 2, 2004. Applications postmarked later than April 2, 2004, will not be accepted. Applicants are encouraged to submit applications as soon as they are complete. OES will review applications as they are received. Eligible applications that meet program priorities will be forwarded to FEMA for final determination as they are reviewed.

Organization of the Application

The application package is organized into five main sections as follows:

- I. Notice Of Interest, 1-15
- II. Activity Description, 16-20
- III. Supplemental Information, 21-24
- IV. Administrative Documents, 25-30
- V. Checklists, 31-32

The instructions outlined below correspond to the five main application sections referenced above. Numbers within each section correspond to numbered items in the application forms.

For the submittal of an application for an activity other than a project, applicants must complete only Items 1 through 15, 19, 20 and 24 – 32.

Section I: Notice of Interest

The first two pages containing items 1-15 constitute the Notice of Interest (NOI). All prospective applicants are required to submit the NOI separately prior to submission of the full application package. The NOI will be used to determine if the proposed activity is consistent with the state-established priorities and federal eligibility criteria. OES will review the NOI and provide a response regarding whether the activity meets priority and eligibility criteria. The following information must be included:

1. **FIPS#:** If known. The FIPS number is an identification number used to track applicants in Federal Disaster Assistance Programs. If you do not have a FIPS number previously assigned, OES will obtain one from FEMA.
2. **Applicant Name:** Provide name of organization/agency.
3. **Applicant Address:** Provide complete applicant mailing address.
4. **Applicant Type:** Eligible applicants include state and local governments, special districts, and private non-profit organizations or institutions that provide governmental services. If your organization does not fall into one of these categories, you are not eligible to apply to the HMGP.
5. **Legislative Districts:** Please provide the numbers of the political districts. If you only know the name of your political representatives, please call their office for the district number. If the project site is located in a different district than the applicant address, please provide both.
6. **Authorized Applicant's Agent:** An Applicant's Agent is a person authorized by the agency's governing body to act on behalf of the agency to execute the application for the purpose of obtaining federal financial assistance. The agency may choose to authorize their agent by name or by title. There may be more than one Authorized Applicant's Agent. If you are submitting an application, attach a completed Applicant's Agent Form, OES 130.
7. **Activity Location:** Provide specific activity location by the most appropriate of the following methods:
 - A. Address (full street address with no abbreviations)
 - B. Road Intersections
 - C. Latitude – Longitude
 - D. Thomas Guide map
 - E. 7.5' U.S.G.S. Quadrangle map with year and page number
 - F. Mile Marker, or
 - G. Other Legal Description.

Activity location for planning grants will be the area to be covered by the Local Hazard Mitigation Plan, e.g. city limits, county limits, watershed.

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8. **Project Manager/Working Contact:** This person is a point of contact for the proposal, and should be someone who is familiar with the details of the proposed activity. Please provide all requested contact information.
 9. **Alternate Contact:** If available, an alternate contact should be named who is also familiar with the activity. Please fill in all requested contact information for the alternate contact. If there is no alternate contact, please write in “none.”
 10. **Activity Type:** Identify the activity type.
 11. **Activity Title/Name:** Provide a concise activity title.
 12. **Brief Summary of the Problem.** For the summary, we are seeking a concise description of the problem you are attempting to mitigate. The summary does not require every specific detail of the problem, as this will be covered in the problem statement in Section II of the application. The description should not exceed the space provided on the application.
 13. **Brief Summary of the Proposed Solution:** For the summary, we are seeking a concise description of the activity. The description should generally describe what the activity is and how it will solve the problem.
 14. **Duplication of Programs:** Identify if the activity has received or is being considered for funding from another federal program. If so, please identify the source and provide any reference or identification number.
 15. **Total Activity Cost:** FEMA may provide up to 75% of an activity’s total cost. The applicant must provide at least 25% of the activity cost as a match. The total activity cost (100%) should equal the sum of the federal and applicant shares.

Section II: Activity Description

This section of the application includes a detailed discussion of the proposed activity, alternatives considered, budget and work schedule.

16. **Detailed Description of the Problem:** Please provide a thorough description of the problem to be addressed in the proposed mitigation activity. For example, provide documentation of repetitive or recurring damage, life safety risks, and past or future property damage (public and private) anticipated. Be specific as to the deficiencies of existing structures, threat posed by existing structures or lack of mitigation measures. This section is used to describe fully every aspect of the problem, including detailed and quantified information regarding all losses. Include a discussion of studies or reports that document technical (engineering, geotechnical, hydrological, etc.) analysis of the problem.
17. **Detailed Description of How the Proposed Activity Will Eliminate or Reduce the Problem:** Please provide a thorough description of the proposed mitigation activity, and how the activity provides a solution to the problem(s). Include information on the reduction or elimination of future risk of damage, hardship, loss and/or suffering; how your proposed activity impacts on or is impacted by adjoining jurisdictions and steps taken to resolve impact (e.g., meetings, agreements, etc.); how the project conforms to your local flood hazard mitigation plan or other community plans; and how the activity addresses the need for a long-term solution, future change and future maintenance. This section is used to fully describe every aspect of the activity. Use very specific and quantified information such as exact sizes, lengths, duration, labor, engineering, etc. Include supporting engineering documents and other documents relating to the codes, standards, and ordinances that may affect your activity.
18. **Project Alternatives:** Provide at least three alternatives to your project. Give a brief description of alternate projects, and how the alternate solutions would solve the problem. What constitutes a reasonable range of alternatives depends on the nature of the proposal and the facts in each case. Reasonable alternatives include those that are practical and feasible from a technical and economic standpoint using common sense, rather than simply the desired alternatives of the applicant. One project alternative will be to take no action. “No action” provides a benchmark for comparison; this alternative enables decision-makers to compare the magnitude of the environmental effects of the various alternatives. Be sure to include the consequences of each alternative, including the “no action” alternative. On a separate piece of paper you must provide the cost breakdowns for each solution of the benefit cost analysis.
19. **Work Schedule:** Attach a table, chart or graph depicting your proposed work schedule. List each major milestones and its duration from the time of subgrant approval to completion of the proposed activity. Do not use specific dates; identify the duration of each milestone in terms of days or months. Explain any activity start dates beyond 60 days from approval date, or completion dates beyond three years.
20. **Budget:** Provide a detailed breakdown of activity costs (project management, engineering and design, site acquisition, labor, materials and supplies, etc.). Include the value of any “soft” or “in kind” expenses. Include only those costs that are directly related to performing the mitigation aspects of the activity. If additional work, such as remodeling, additions, improvements, are being done concurrently with the mitigation work, please do not include these costs in your budget. Please note that “contingency” is not a FEMA-allowable cost item. Also, do not include subgrantee administration fees in the activity budget. They are calculated separately and provided in addition to the costs of approved mitigation activities.

Section III: Supplemental Information

In order to complete the review process for compliance with federal requirements, supplemental information, in addition to the basic information provided on the scope of work in Section II, is required. This includes information to support the historic, environmental, floodplain management and wetlands preservation reviews as well as the cost effectiveness review.

21. **Floodplain Management and Protection of Wetlands:** Hazard mitigation projects must be evaluated for their potential impact on floodplains or wetlands. If your project has an impact, use the following eight-step decision-making process as a guide (see 44 CFR 9.6 for specific information). As you prepare your application, keep the intent of the following Executive Orders in mind:

- E.O. 11988, Floodplain Management, (May 24, 1977) directs all federal agencies to avoid the long- and short-term adverse impacts associated with the modifications of flood plains and to avoid direct and indirect support of floodplain development wherever there is a practicable alternative.
 - E.O. 11990, Protection of Wetlands, (May 24, 1977) directs all federal agencies to refrain from assisting in or giving financial support to projects which encroach upon public or private wetlands unless the agency determines that there are no practicable alternatives to such construction and that the proposed action includes all practicable measures to minimize harm to wetlands which may result from such use.
- A. Determine whether the proposed action is in a wetland, swamp, marsh, etc.
 - B. Determine whether the proposed action is in the 110-or 500-year floodplain
 - C. Determine if the proposed action has the potential to affect a wetland and/or floodplain.
 - D. Determine if the project supports development in a floodplain.

If the answer to A, B, C, or D is “yes,” answer E through K

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- E. Notify and involve the public.
 - F. Identify and evaluate alternatives.
 - G. Identify the impacts resulting from the proposed action.
 - H. Minimize potential adverse impacts to and restore the natural and beneficial value of floodplains and wetlands.
 - I. Reevaluate to determine if the proposed action is practical in light of other alternatives and provide the public with the finding(s).
 - J. Identify land use upstream and downstream of the proposed project.
 - K. Identify the local floodplain manager.

22. **Environmental Review:** Your project is subject to all federal, state, and local laws. The National Environmental Policy Act (NEPA) is the established environmental policy for the nation. This policy ensures that the environment is considered in all federal actions. NEPA requires that federal agencies consider the effects of their proposed actions and alternatives on the human environment before deciding to fund and implement the action. The law requires a decision making process and not a specific outcome. Almost all federal actions are subject to NEPA review.

- A. Any environmental information related to the project area should be included as there is no reason for FEMA to duplicate efforts and delay funding.

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- B. Include any biological studies that have information on wildlife and native vegetation.
 - C. All projects must be evaluated to determine if any endangered or threatened species may be affected. If it is determined that endangered species could or are known to exist in the project area, further study and evaluation will be required. This additional effort may include formal consultation with the U.S. Fish and Wildlife Service and the preparation of a Biological Assessment. The level of involvement with the endangered species process can vary widely according to the project proposal. Identification of endangered species in the beginning of the environmental process will help expedite the review.
 - D. If there is potential for controversy, please indicate who supports and who opposes the project and the main reasons for support or opposition.
 - E. Please indicate if additional information is included and where. Information could be any CEQA, NEPA, USACE, NRCS, biological, consultation, permit application, or other environmental documents related to the project, site, or area.

23. **Historical Review Checklist:** Historical Review was designed to ensure that historic properties are considered during Federal project planning and execution. The National Historic Preservation Act of 1966 (NHPA) assures that Federal agencies "take into account" the effects of the project on historic properties. Historic Property means any prehistoric or historic district, site, building, structure, or object included in, or eligible for inclusion in, the National Register. This term includes, for the purposes of these regulations (36 CFR part 800), artifacts, records, and remains that are related to and located within such properties. The term "eligible for inclusion in the National Register" includes both properties formally determined as such by the Secretary of the Interior and all other properties that meet National Register listing criteria.

- A. If a building is fifty years old, this indicates to FEMA that the building may be on or eligible for the National Register of Historic Places. Building construction dates can be found in Metro Scan, Multiple Listing Service (MLS), Title Searches, Building Permits and/or the County Appraiser.
- B. Will the proposed project have an adverse influence or change to characteristics of the historic properties in the project area?
- C. Is the proposed project going to adversely affect the historic district? Historic districts information can be found through local historic groups, societies, and/or the State Historic Preservation Office. Local historic districts could be on or eligible for the National Register of Historic Places.
- D. Is the project outside previously disturbed soil?
- E. Is the project breaking new ground or increasing the depth or width of excavation?
- F. Does the project area contain any prehistoric, historic, archaeological or cultural resources? Local cultural or archaeological resources can be researched by a licensed archaeologist in Archaeological Information Center (AIC). Additional information can also be found in local historic groups, societies and/or the State Historic Preservation Office.
- G. For structures less than fifty years old, provide one color photograph from the front. For structures greater than fifty years old, provide four color photographs: two corner views showing two sides of the structure, one view each from up and down the street.
- H. Please include any AIC searches or other documents related to historical properties in the project area.

24. Supplemental Analysis

- A. If the proposed activity is a project, complete the appropriate Benefit Cost Supplement (Flood, Seismic, or Fire) for your project. Worksheets and instructions are located in the supplements.

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- B.** If the proposed activity is a plan or an administrative measure, provide the information requested in the Planning Supplement.

Section IV: Administrative Documents

This section includes all documents that are required to meet administrative requirements. OES understands that, due to the relatively short application timeframe, it may not be possible to have all forms signed by the appropriate governing body prior to submission of your application to OES. In those cases where the governing body will not meet during the open application period, please complete the forms as fully as possible, and indicate the date that you expect to have signatures provided.

25. **Private Nonprofit Status:** If applicable, please attach the IRS ruling letter granting tax exemption under sections 501 (c), (d) or (e) of the IRS code. If you do not have such a ruling letter, you must provide satisfactory evidence (certification from the Secretary of State) that your organization or entity is organized or doing business under state law as a nonprofit entity or organization.
26. **Grant Funding:** Please provide all information as indicated in this item.
- A. **Matching Funds:** Identify all amounts and sources of matching funds. Please note if any matching funds are being provided as “soft” or “in-kind” match.
- B. **Funding Advances:** *Cash advances are the exception, not the rule.* Under extreme and very rare circumstances, OES will consider a 10% cash advance for activity costs, if the activity is obligated. Applicants have the burden of proof to show the extreme hardship a lack of cash advance would cause. Applicants requiring a cash advance must indicate the need and justification for the advance with the application submittal.
- C. **Maintenance:** The lifetime maintenance of a activity after federal funds have been used becomes a mandatory eligibility requirement of the activity, for both WHO will physically maintain the activity, and WHERE the maintenance funds will come from. If any other parties to this application are to accept the responsibility for the long-term maintenance, a written agreement must be submitted with the application.
27. **Activity and Grant Management:** It is important to identify who in your organization is responsible for ensuring the activity is completed and the conditions of the grant are met.
28. **Designation of Applicant’s Agent Resolution and Certification:** Determine an appropriate designated agent or agents to represent your organization. Provide all requested information and certify as appropriate. If your organization has submitted a Universal Designation of Applicant’s Agent Resolution form to OES for a previous grant program, please provide a copy with this application.
29. **Subgrantee Assurance:** The application cannot be approved for funding until all required signatures are present.
30. **Authorization:** Authorized representative or officer must sign and verify the accuracy of the completed application.

Section V: Checklists

31. **Document Checklist:** Please review this checklist and provide all relevant, available documents. Attach any maps or other reference material you may have which could expedite the review of your activity.
32. **Application Checklist:** Indicate page numbers where application items may be found in your submittal.